AGENCY SAFEGUARD SELF REVIEW CHECKLIST
For Local Safeguard Policy and Physical Documents from the
IEVS and TOP Programs

Agency
Name: _____

Local Agency
Safeguard
Custodian's Name: _____

Review Date Conducted: ____/____/_____

Evaluator: _____

EVALUATION CRITERIA

1. SAFEGUARD ACCESS

1.1. Where does the agency maintain a list(s) of authorized staff?

1.2. Is the list(s) of authorized staff readily available to persons having custody of safeguarded materials?

1.3. Who in the agency authorizes staff to access federal tax data?

1.4. What is the agency's policy for handling other agency requests for access to federal tax data?

2. SAFEGUARD AWARENESS

A. Agency Awareness:

2.1. Does the agency Director/Manager/Supervisor/ Lead Worker and Safeguard Custodian know who in the agency or their area of administrative control is authorized to access federal tax data?

2.2. Does the agency's Safeguard Custodian know what the six (6) safeguard principles are?

2.3. Does the Safeguard Custodian know what the two (2) types of unauthorized usage are?

2.4. Does the Safeguard Custodian know what the two (2) types of penalties are for unauthorized usage?

2.5. Are the safeguard requirements cited in he Safeguard Policy Document posted or otherwise readily available to all agency staff?

How?

B. Employee Awareness:

2.6. Do authorized staff know what the six (6) safeguard principles are?

2.7. Do authorized staff know what the two (2) types of unauthorized usage are?

FINDINGS

I. SAFEGUARD ACCESS

1.1. _____

1.2. _____

1.3. _____

1.4. _____

2. AWARENESS

A. Agency Awareness:

2.1.   Yes   No

2.2.   Yes   No

2.3.   Yes   No

2.4.   Yes   No

2.5.   Yes   No

How? _____

B. Employee Awareness

2.6.   Yes   No

2.7.   Yes   No

UCF-12284 (R. 5/2000)

2.8. Do authorized staff know what the two (2) types of penalties are for unauthorized usage?

2.8. Yes No

2.9. Do authorized staff know where and how to identify persons who are authorized to access federal tax data in their agency?

2.9. Yes No

2.10. Do authorized staff know where to obtain the safeguard policy document?

2.10. Yes No

3. SAFEGUARD TRAINING

3.1. Have authorized employees reviewed the safeguard training module and signed an authorization sheet in the past year?

3.2. Do authorized employees have a copy of the safeguard training module at their workstation?

3. TRAINING

3.1. Yes No

3.2. Yes No

4. SAFEGUARD RECORD KEEPING

4.1. What is the agency's policy for handling printed CARES screens containing federal tax data?

4.2. Does staff use safeguard practices when verifying match data from the federal tax matches?

4.3. Is the destruction accurately recorded on the safeguard log?

4. RECORD KEEPING

4.1. _____

4.2. Yes No

4.3. Yes No

5. PHYSICAL SECURITY

A. Office Security:

5.1. How is access to the agency controlled? Examples: (a) Sign-in registers are used; monitored by whom? (b) Visitors are escorted into and out of the area; by whom?

5.2. Are there physical barriers to restrict access to the area?

5. PHYSICAL SECURITY

A. Office Security

5.1. (a) _____

(b) _____

5.2. Yes No

B. Storage Area Security:

5.3. In what physical area of the agency are the safeguarded documents stored?

5.4. Are there physical barriers to restrict access to the area?

5.5. Who has access to the area/office where the tax data is stored during work hours? If groups of employees, such as all ES staff have access, indicate by the position types.

5.6. Who has access to the area after work hours?

5.7. How is after work hours access controlled and monitored?

5.8. Are doors to safeguard storage area locked when not occupied by an authorized person?

B. Storage Area

5.3. _____

5.4. Yes No

5.5. Name:_____

Position:_____

Types:_____

5.6. _____

_____

5.7. _____

5.8. Yes No

5.9. Do doors to storage area lock automatically?	5.9. Yes No
5.10. Do doors to storage area close automatically?	5.10. Yes No

C. Container Security:

C. Container Security

5.11. What type of container is used by the agency to store federal tax data?

5.11. Type: _____

5.12. What type of material and construction was used on the container? Bolts? Welds? Rivets? etc.

5.12. Type: _____

5.13. What type of lock is used on the container? Integrated key lock or combination? Exterior padlock? etc.

5.13. Lock: _____

5.14. Is there a lock bar on the container?

5.14. Yes No

5.15. Is the container locked when authorized staff are not physically present?

5.15. Yes No

D. Staff Storage Security:

D. Staff Storage Security

5.16. How is the tax data being used by agency staff stored while in their possession? Desk, File, etc?

5.16. _____

5.17. How many persons have a key or the combination to the agency's tax data storage "container"?

5.17. _____

E. Agency Safeguarding:

E. Agency Safeguarding

5.18. Receipt point of safeguarded documents in agency

5.18. _____

5.19. Are safeguard documents opened upon receipt?

5.19. Yes No

5.20. Are safeguard documents opened by authorized staff?

5.20. Yes No

5.21. How are safeguarded documents transported within the agency?

5.21. _____

5.22. Are there other local offices where safeguarded documents may be sent? How Many?

5.22. Yes No How many: _____

5.23. How are safeguarded documents packaged to ship to the other local offices?

5.23. _____

5.24. Who maintains control/inventory over keys and locks for agency storage and individual staff storage?

5.24. _____

5.25. How often are keys inventoried?

Date of last inventory.

5.25. _____

Date: _____/_____/_____

5.26. How often are combinations changed?

Date of last change.

5.26. _____

Date: _____/_____/_____

5.27. What is the agency's policy on key reproduction? Is there a written policy?

5.27. Policy: _____
    Yes No

5.28. Are keys required to be returned when an employee terminates or transfers?

5.28. Yes No

5.29. What records are maintained on key issues and returns?

5.29. _____

6. On-Line Safeguard Security:

6.1. What is the agency's policy on staff printing CARES screens containing federal tax data?

6.2. What is the agency's safeguard practices when verifying match data from the federal tax matches?

6.3. What is the agency's policy for back-up support for absent staff with a safeguard workload?

6. On-Line Safeguard Security:

6.1. _____

6.2. _____

6.3. _____

7. Destruction/Disposal of Tax Documents:

7.1. What destruction process is used?

7.2. Who supervises the destruction?

7.3. Is the disposal done within the agency or outside?

7.4. Are unauthorized persons involved in the disposal of the safeguarded documents?

7.5. If shredding is used - What is the width size of the strips?

7.6. If shredding is used, are the documents cut perpendicular to the printing?

7. Destruction/Disposal:

7.1. Process: _____

7.2. Name: _____

Position: _____

7.3. Out   In

7.4. Yes   No

7.5. Width: _____

7.6 Yes   No